

Form PTO-1449 (modified)List of Patents and Publications
For Applicant's Information

Disclosure Statement

(Use several sheets if necessary)

ATTY. DOCKET NO: 5226-01600

SERIAL NO: 09/885,817

APPLICANT: Shayne Young

FILING DATE: June 19, 2001

GROUP: 2182

U.S. PATENT DOCUMENTS

EXAM. INITIALS	REF. DES	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
JL	B1	4,674,044	6/1987	Kalmus, et al.			
JL	B2	5,347,452	9/1994	Bay, Jr.			
JL	B3	5,787,402	7/1998	Potter, et al.			
JL	B4	5,950,176	9/1999	Keiser, et al.			
JL	B5	6,014,643	1/2000	Minton			
JL	B6	6,016,483	1/2000	Rickard, et al.			
JL	C1	6,260,025	7/2001	Silverman, et al.			
JL	C2	6,006,206	12/1999	Smith, et al.			
JL	C3	5,987,432	11/1999	Zusman, et al.			

FOREIGN PATENT DOCUMENTS

EXAM. INITIALS	REF. DES	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION. YES/NO

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

JL	B7	Press Release, "3DStockCharts.com Teams Up With ECN Industry Leader," October 1999, pp. 1-2. ✓					
JL	B8	"Real Tick III Tutorial," © 1999 The Momentum Trader and Swingtrader.net, 6 pgs. ✓					
JL	B9	"Using the Order Entry Screen in Real Tick III," January 1999, pp. 1-2. ✓					
JL	AA	Stand & Poor's ComStock, "Xpresso," 5 pages, © 1998 Standard & Poor's ComStock ✓					

EXAMINER:

JL

DATE CONSIDERED: 3/27/2006

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to the patent owner.

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JL	C4	5,966,531	10/1999	Skeen, et al.			
JL	C5	5,924,083	7/1999	Silverman, et al.			
JL	C6	5,924,082	7/1999	Silverman, et al.			
JL	C7	5,727,165	3/1998	Ordish, et al.			
JL	C8	5,195,031	3/1993	Ordish			
JL	C9	5,136,501	8/1992	Silverman, et al.			
JL	C10	5,077,665	12/1991	Silverman, et al.			
JL	C11	5,034,916	7/1991	Ordish			
JL	C12	5,003,473	3/1991	Richards			

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FOREIGN PATENT DOCUMENTS

EXAM. INITIALS	REF. DES	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION. YES/NO

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

JL	C13	"gr8trade from Protrader User's Manual," Protrader Securities Corporation, pp.1-69.; 3/2000					
JL	C14	Abell, et al.; "The Sixth Market: The Electronic Investor Revolution;" 12/2000					

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Jh Kelly

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Information Disclosure Statement--PTO 1449 (modified)

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EXAM. INITIALS	REF. DES	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
JL	C15	4,750,135	6/1988	Boilen			
JL	C16	4,745,559	5/1988	Willis, et al.			
JL	C17	6,278,982	8/2001	Korhammer, et al.			

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EXAM. INITIALS	REF. DES	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
JL	D1	6,317,728 B1	11/13/01	Kane			
JL	D2	5,819,238	10/06/98	Fernholz			
JL	D3	5,640,505	06/17/97	Hearn et al.			

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EXAM. INITIALS	REF. DES	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION YES/NO

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

JL	D4	International Search Report, PCT/US02/16267, mailed August 20, 2002.					

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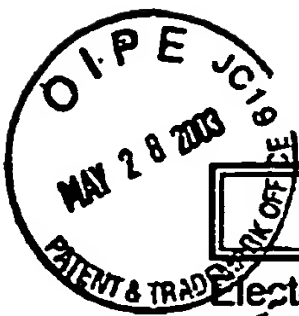
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ELECTRONIC INFORMATION DISCLOSURE STATEMENT

Electronic Version v18
Stylesheet Version v18.0

Title of
Invention

**METHODS AND SYSTEMS FOR IMPLEMENTING A
FORWARD CONVERSION SECURITIES STRATEGY**

Application Number: 09/885817
Confirmation Number: 4380
First Named Applicant: Shayne Young
Attorney Docket Number: 5226-01600
Art Unit: 2182
Search string: (6477580 or 6421653 or 6446871 or 6247000
or 6272474 or 6173270 or 6321212 or 4566066
or 6505174 or 6195647 or 5101353 or 4942616
or 5915209 or 5999918 or 6112189).pn.

US Patent Documents

Note: Applicant is not required to submit a paper copy of cited US Patent Documents




Init	Cite.No.	Patent No.	Date	Patentee	Kind	Class	Subclass
JL	1	6477580	2002-11-05	Bowman-Amuah			
JL	2	6421653	2002-07-16	May			
JL	3	6446871	2002-09-10	Buckley et al.			
JL	4	6247000	2001-06-12	Hawkins et al.			
JL	5	6272474	2001-08-07	Garcia			
JL	6	6173270	2001-01-09	Cristofich et al.			
JL	7	6321212	2001-11-20	Lange			
JL	8	4566066	1986-01-21	Towers			
JL	9	6505174	2003-01-07	Keiser et al.			
JL	10	6195647	2001-02-27	Martyn et al.			
JL	11	5101353	1992-03-31	Lupien et al.			
JL	12	4942616	1990-07-17	Linstroth et al.			
JL	13	5915209	1999-06-22	Lawrence			
JL	14	5999918	1999-12-07	Williams et al.			
JL	15	6112189	2000-08-29	Rickard et al.			

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Examiner Name	Date
<i>ps hty</i>	3/27/2004

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Title of Invention	METHODS AND SYSTEMS FOR IMPLEMENTING A FORWARD CONVERSION SECURITIES STRATEGY																																																												
<p>Application Number: 09/885817 Confirmation Number: 4380 First Named Applicant: Shayne Young Attorney Docket Number: 5226-01600 Art Unit: 2182 Search string: (5193056 or 4752877 or 6415267 or 6029146 or 5297031 or 6035287).pn.</p> <p>US Patent Documents</p> <p>Note: Applicant is not required to submit a paper copy of cited US Patent Documents</p> <table border="1"><thead><tr><th>init</th><th>Cite.No.</th><th>Patent No.</th><th>Date</th><th>Patentee</th><th>Kind</th><th>Class</th><th>Subclass</th></tr></thead><tbody><tr><td>JL</td><td>1</td><td>5193056</td><td>1993-03-09</td><td>Boes</td><td></td><td></td><td></td></tr><tr><td>JL</td><td>2</td><td>4752877</td><td>1988-06-21</td><td>Roberts et al.</td><td></td><td></td><td></td></tr><tr><td>JL</td><td>3</td><td>6415267</td><td>2002-07-02</td><td>Hagan</td><td></td><td></td><td></td></tr><tr><td>JL</td><td>4</td><td>6029146</td><td>2000-02-22</td><td>Hawkins et al.</td><td></td><td></td><td></td></tr><tr><td>JL</td><td>5</td><td>5297031</td><td>1994-03-22</td><td>Guterman et al.</td><td></td><td></td><td></td></tr><tr><td>JL</td><td>6</td><td>6035287</td><td>2000-03-07</td><td>Stallaert et al.</td><td></td><td></td><td></td></tr></tbody></table> <p>Signature</p> <table border="1"><thead><tr><th>Examiner Name</th><th>Date</th></tr></thead><tbody><tr><td></td><td>3/27/2006</td></tr></tbody></table>		init	Cite.No.	Patent No.	Date	Patentee	Kind	Class	Subclass	JL	1	5193056	1993-03-09	Boes				JL	2	4752877	1988-06-21	Roberts et al.				JL	3	6415267	2002-07-02	Hagan				JL	4	6029146	2000-02-22	Hawkins et al.				JL	5	5297031	1994-03-22	Guterman et al.				JL	6	6035287	2000-03-07	Stallaert et al.				Examiner Name	Date		3/27/2006
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Title of Invention	METHODS AND SYSTEMS FOR IMPLEMENTING A FORWARD CONVERSION SECURITIES STRATEGY
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Attorney Docket Number: 5226-01600
Art Unit: 2182
Examiner: Unknown Unknown
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20020194111 or 20030065598 or 20030083974
or 20030041006).pn.



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US Patent Documents

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init	Cite.No.	Patent No.	Date	Patentee	Kind	Class	Subclass
JL	1	5809483	1998-09-15	Broka et al.			
JL	2	5946666	1999-08-31	Nevo et al.			
JL	3	6401105	2002-06-04	Carlin et al.			
JL	4	6408282	2002-06-18	Buist			
JL	5	6510419	2003-01-21	Gatto			

US Published Applications

Note: Applicant is not required to submit a paper copy of cited US Published Applications

init	Cite.No.	Pub. No.	Date	Applicant	Kind	Class	Subclass
JL	1	20020188548	2002-09-15	Bunda	A1		
JL	2	20020178099	2002-11-28	Young	A1		
JL	3	20020194111	2002-12-19	Young	A1		
JL	4	20030065598	2003-04-03	Bunda	A1		
JL	5	20030083974	2003-05-01	Bunda	A1		

IL	6	20030041006	2003-02-27	Bunda	A1
Signature					
Examiner Name			Date		
John L. Hy			3/27/2006		

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